



Fund

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### ***WORKING DOCUMENT***

*The GCARD3 2015-16 Consultation Process*

Submitted by:  
*Consortium & GFAR*



## The GCARD3 2015-16 Consultation Process

GFAR & CGIAR Consortium, October 21, 2014

### Summary and Recommendations

The Global Conference on Agricultural Research for Development (GCARD)<sup>1</sup> process was created to promote effective and targeted investment at all levels of the agricultural system, to ensure that today's agricultural research will meet the needs of the resource-poor end user. The GCARD process helps to refine regional and global agricultural research priorities, as identified by different stakeholder groups and representatives in each region in an inclusive way. The GCARD1 was an event held in Montpellier, France, in 2010; GCARD2 was an event held in Punta del Este, Uruguay, in 2012. Building on lessons-learned from the first two GCARDs, we are proposing that GCARD3 will be a two-year consultation process focusing on stakeholder and partner priorities for the next generation of CGIAR Research Programs and the means by which effective impact pathways can be generated within these areas. The consultations for the GCARD3 process will start in late 2014. There will be a 'soft launch' at FARA@15 (November 2014) with a formal announcement that focuses on stakeholder validation of the new CGIAR Strategy and Results Framework (SRF) when that document is launched. After launching the CRP 2<sup>nd</sup> Call a key focus then becomes consultation to develop the new CRP portfolio. In 2015 that includes some twenty national stakeholder consultations in CGIAR priority countries, four regional consultations to bring together the needs of other countries and regional organizations, and consultations with a wide range of other stakeholders and partners in the margin of ongoing meetings and conferences.

From the GFAR side it also includes the parallel development of the integrated investment facility for agricultural innovation, to ensure that national systems can be empowered through direct investment and the required capacities, to provide effective uptake pathways able to make use of the products of the CGIAR's next-phase CRPs. The results of these consultations provide inputs to a smaller, more focused GCARD3 event in late 2015 to provide feedback on CRP 2<sup>nd</sup> Call pre-proposals. Follow up from GCARD3 will be implemented through further consultations in 2016 linked with the development of CRP 2<sup>nd</sup> Call full proposals. Results of all consultations will be collected and curated in a GCARD3 website that allows all stakeholders to follow, and monitor, the results of all consultations transparently and continuously.

1. The CGIAR Fund Council is requested, most importantly, to endorse the consultation process as laid out in this note and to confirm that it expects the CRPs to carry out, and fund from their budgets, a robust and transparent consultation process as described in this note.
2. In addition, the FC is requested to allocate \$450K from Window 1 to GFAR and the CGIAR Consortium, to defray some of the central costs of the consultation – while the bulk of these costs will be born by the regular budgets of GFAR, Consortium and, particularly, the CRPs. Alternatively, if the FC prefers, these same central costs of \$450K could be covered by invoicing each of the 15 current CRPs that will prepare a proposal in the 2<sup>nd</sup> Call an amount of US\$30K.

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<sup>1</sup> While GCARD was primarily a Conference in its first and second editions, it is now proposed as primarily a consultation process – hence the name would more appropriately be Global **Consultation** on Agricultural Research for Development (GCARD).

## **Introduction**

GCARD3 will be a two-year process based on national and regional stakeholder consultations designed to help shape the strategy and future direction of international agriculture research and innovation. After a series of consultations including the validation of the CGIARs new Strategy and Results Framework, it will lead to the GCARD3 event and subsequent further development of the next round of CGIAR Research Program (CRP) proposals. The GCARD event itself will be smaller and more focused than before, taking place in the middle of the next planning cycle and enabling key decisions on which future CRPs will move to the next phase of full proposal development. This process will provide Centers, funders and partners the chance to voice their views and opinions on the direction of plans and comes at the time of maximum influence on the process of developing the next cycle and implementing the new CGIAR Strategy and Results Framework (SRF).

## **Integrated International Investment and Support Facility:**

Through the GCARD process, international research investments and programs will be directly aligned to national priorities and needs, in particular to those of resource-poor family farmers, as the drivers of demand for agricultural research for development. Endorsed by the G20, stakeholders in the Global Forum are fostering a new large-scale Integrated International Investment and Support Facility for Agricultural Innovation and Growth, to be managed by IFAD and with fund use directly driven by the needs of the countries concerned. The GCARD3 process will catalyze discussions on how essential changes in the focus, function and capability of national innovation systems (research, extension, education and enterprise), as demanded by thousands of stakeholders and clearly expressed in the GCARD Process, can best be resourced and supported in practice through this new Investment Facility. The outcome of the GCARD3 consultation process will include the public and transparent identification and validation of the practical pathways, policies, capacities, investments and processes required for achieving future development goals, in particular for resource-poor family farmers and food-insecure rural and urban populations.

## **SRF consultation and stakeholder and partner consultation for CRP 2<sup>nd</sup> Call**

In 2014 the CGIAR develops a new SRF that is expected to be approved in early 2015. The GCARD consultation process will kick off in late 2014 (at FARA@15) followed by a formal announcement when the final draft version of the SRF is released for stakeholder consultation. The CGIAR Consortium recognizes that the renewal of the CRP portfolio presents an excellent opportunity for a robust, transparent consultation of key stakeholders and partners – to ensure that the next generation of CRP proposals are fully demand driven, based on the priorities of the countries the CGIAR works in – well aligned, for example, with the CAADP national investment plans in countries that have those – and well aligned with the development priorities of the development partners that can scale up and out the innovations developed by the CGIAR and partners. As development outcomes are not delivered in the abstract, but only in specific geographies, the heart of this demand driven consultation is in countries – with governments, national research systems, NGOs and farmer organizations that represent the beneficiaries of CGIAR research. While the Centers did consult with a large number of countries and stakeholders during the first generation of CRPs, because all CRPs were developed separately, stakeholders from a specific geography or country had to travel to as many as ten different workshops to engage with the CRPs one-by-one – and CRPs did not have a clear shared vision of how they would work together with each other, and with the stakeholders in a specific location (or select joint sites, work together in designing baselines and other surveys and data collection work, for example). In the second generation, the Fund Council and Consortium will require the Centers and CRPs to organize, together with GFAR and national stakeholders, country or geography focused consultations of all CRPs active, or planning work, in that geography – for at least the top-20 countries with most CGIAR investment. Likewise, the Fund Council and Consortium will require the CRPs engaging in those countries to develop a site integration plan that shows how the CRPs work together and deliver development outcomes, jointly, and with their partners. Finally, as

the countries own the development outcomes and associated targets, whether these are linked to the new SDG agenda, CAADP or other processes, the country governments have to be partners with the CRPs in setting targets for development outcomes (IDOs) for their countries that the CGIAR can be held accountable for, as contributions to the national sustainable development goals of the country.

In addition, through integration of the consultation process for the CRPs as run by the Centers and the separate GCARD consultation process as run by GFAR for the first round of CRPs, into a single process – GFAR, the regional and sub-regional organizations, and the civil society organizations that are members of GFAR, will join in the organization of the national consultations – to ensure that the right people are at the table. Civil society voices, including those critical of the CGIAR, need to be in the room and need to be heard.

The process will make use of existing national government and civil Innovation Platforms, Forums, Hubs and relevant stakeholder networks in country. Further platforms are now being developed with CRPs. These consultations should use such mechanisms to engage with the key stakeholders in the local innovation system and develop new mechanisms where they are lacking. A valuable outcome of the national consultations may also be the establishment of continuous stakeholder engagement mechanisms in key sites where this is feasible and appropriate.

Consultation with a wide range of stakeholders is critical to ensure that the new CRPs are demand-led. On top of that, and somewhat separately, there needs to be consultation with the partners that will form the consortia that implement the new CRPs, including CGIAR Centers, other strategic partners and a large number of other partners (some of whom are providers of data or research inputs while others are users of CRP results). In the CRP second Call the Fund Council and Consortium will require the Centers to be explicit about the research roles, governance responsibilities and budgets of the strategic partners – both the “in kind” contributions strategic partners make to the CRPs by bringing in their aligned work funded through other means, and the share of the CRP budget strategic partners are allocated to spend. These partner consultations with key upstream research partners (ARIs), national research and extension partners, NGO delivery partners – and also with the private sector, which has not been a natural partner in these consultations to date – need to lead to clear shared visions, to explicit agreements among partners disclosed as part of the Full Proposals, together with explicit agreements on the use of IP (such as licensing agreements in line with the CGIAR IP Principles) as relevant. Meetings with strategic partners are not spelled out in this note, as these are left to the CRP proposal development team – but it is clear that the expectation is that CRP proposals will not be primarily an agreement among CGIAR Centers, but will be proposed as joint ventures of the strategic partners, including CGIAR centers and all other strategic partners (that is a small number, say 3-10, strategic partners in addition to CGIAR centers).

The objective of this part of the consultations is to ensure that the objective of the reform to open – up the CGIAR is further implemented, and to counter the consistent and wide-spread critique from outside the CGIAR that it is difficult to engage with, and partner in, the CRPs. It will be important to set the expectations right – as many outside the CGIAR would be happy to share its budget, without necessarily having a clear contribution to make to jointly deliver the desired development outcomes. It will be the responsibility of the CGIAR Centers to ensure that each CRP has the best possible strategic partners (upstream, advanced research, national research, NGO and private sector partners) that mobilize the world’s best possible science, as well as deliver development outcomes at scale. Transparent consultation, and documented agreements among partners as part of the proposal, will be part of the criteria by which CRP proposals will be evaluated.

### **Designing an effective GCARD consultation process**

A key lesson arising from the review of previous GCARDs is that it is important to encourage and capture as much dialogue as possible on the issues and opportunities arising from the agricultural

research for development agenda in relevant meetings/interactions in the period leading up to and after the GCARD event. Specific steps of the GCARD3 process over the course of the latter half of 2014 and 2015 will include, but not be limited to, the following.

The primary instrument proposed to operationalize the accountability function of the GCARD3 process, is an online platform or portal (website). This GCARD3 platform documents all consultation meetings, participants, agendas, documents, minutes of meeting, accountability matrices that show how comments were dealt with, and all other materials to provide participants in the consultation process - as well as investors with an interest to monitor the consultations - with a quick and transparent accountability mechanism.

1. **Kick-off for GCARD3:** GCARD3 will be launched in late 2014 through press information and dialogue at FARA@15, followed by a significant presence at an event in early 2015 that focuses on stakeholder consultation of the new CGIAR SRF, its linkages to key external processes such as the SDG agenda and CAADP, and its implications for the development of future research programs. It is presumed here that an appropriate event will be picked - without organizing a meeting for this purpose specifically.
2. **Regional Consultations in Sub-Saharan Africa, Asia, Latin-America/ Caribbean and CWANA.** For all countries not included in the key national consultations, four consultation workshops will be organized jointly by GFAR, the regional organizations and the CGIAR, to provide other countries and their stakeholders an opportunity for consultation on the demand for agricultural research for development in their region. These four regional workshops will be funded by the CRPs jointly as part of their consultation process.
3. **National Stakeholder Consultation process around the scope of new CGIAR CRP proposals in key countries:** The intent of these national consultations -- which could start in early 2015 (after approval of the SRF) and will continue throughout 2015 -- will be to arrive at more robust, transparent, and legitimate consultations related to draft CRP pre-proposals in each of the countries with high CRP presence. These consultations will focus on *ca.* 20 key focus countries (see Appendix 1 for a provisional list) for CGIAR programs and operate as combined dialogues, engaging the relevant CRPs and Centers with countries in dialogues on how the CGIAR can best add value in helping to achieve national development objectives through CGIAR Site Integration Plans. The dialogues will be funded by the CRPs, as part of their 2<sup>nd</sup> Call pre-proposal preparation, and jointly organized with countries and their SROs and stakeholder networks. National findings will be examined for their regional implications.
4. **Stakeholder and partner consultation through relevant international, regional, national meetings and/or events, as well as an online consultation (e-consultation):** There will be GFAR supported preparatory processes that explore future scenarios from a farmers perspective as well as many large meetings of key stakeholder groups (farmer organizations, researchers, NGOs, private sector, governments over the next 18 months, that will provide an opportunity to consult with other stakeholders – without organizing specific meetings. These will especially engage the stakeholders and (potential) partners currently less well represented in the research innovation discussions (including the private sector). The GCARD3 process will take advantage of these events, as platforms to capture information relevant to the process (see examples of events in Appendix 2)
5. **On-line accountability platform that collects, synthesizes and opens up transparently the results of the consultations throughout the process:** To support the process, and ensure accountability, an on-line virtual space will be created where all key working documents from the SRF process, CRP proposal guidance documents, agendas, minutes and participant lists of meetings, and results of e-consultations will be synthesized and publicly accessible. In addition, there are platforms to enable e-consultations open to a large number of stakeholders – such as

the IDRC-platform used successfully by the CGIAR for a regional e-consultation in Latin America and the Caribbean in August 2014.

6. **The GCARD3 event will be held nine months after the launch of the SRF.** The location of the event is not yet finalized but will be chosen from national expressions of interest, taking into consideration travel costs, connectivity and co-location with CRP significant engagements. The GCARD3 event will be small in scale (250 persons), but directly representative of the wider consultation process, with participation balanced between partners and actors from the research through to the development sectors (including farmer organizations, NGOs, civil society and private sector). There is expected to be some sponsorship of delegates that will be subject to an open and transparent process. The program for the event will be designed in such a way as to encourage feedback and dialogue opportunities, enabling participants to have more time and space for networking and discussion. Priority will be given to participants that can bring to the table the results of the preparatory stakeholder and partner meetings (items 2-4 above).
7. **Follow on consultation in 2016.** Depending on the outcomes of the consultations in 2015, the CGARD3 event in late 2015, and the decisions of the Consortium and Fund Council of the CGIAR Fund to call for full proposals for new CRPs, consultation in 2016 will focus on ensuring good stakeholder and partner participation in the development of the full proposals for the next generation of CGIAR Research Programs.

#### **Budget for the GCARD3 process**

As much of the consultation for the next round of CRPs, and the engagement of stakeholders therein, is the normal core business of GFAR and the CGIAR Consortium, most of the activities in this process will be budgeted as part of the regular budget of both organizations, as indicated below. Some of the activities fall outside the regular budgets of both organizations – and as these budgets are limited – a request is made for an additional financial contribution of the CGIAR Fund to the CGARD3 process.

Linked to the 7 key activities described above, funding is foreseen as follows:

1. **Press Launch and public dialogue focused on the SRF at FARA@2015, and another event in early 2015,** funded from regular budget of GFAR and Consortium.
2. **National consultations in focus 20-odd countries:** funded from CRP budgets, as part of the required consultation for the next round of CRPs, and organized jointly with GFAR and national stakeholders.
3. **Four regional workshops in Africa, Asia and Latin America and the Caribbean:** Funded through the regular budgets of GFAR, the Consortium and the CRPs.
4. **Stakeholder and partner consultations:** largely through association with ongoing events – but some facilitation will be required, from providing information, moderating and uploading results to a central site; moderating the e-consultation, attending some meetings to facilitate consultations. In addition to the regular budget, a total of **\$50K in staff and travel** is budgeted for this activity.
5. **Online Platform:** Developing, curating, populating a website and ensuring it has the up-to-date results of all consultation activities is a key task that is estimated to require **\$50K in staff time** on top of contributions from GFAR and Consortium staff.
6. **Consultation on CRP development in 2016:** Cannot yet be budgeted, as it is dependent on results of the consultation in 2015, but it is presumed here that it will be part of the regular budgets of GFAR, Consortium and the CRPs.

In short, most of the activities above would be funded out of the regular budgets of the CRPs, particularly, as well as the Consortium and GFAR. The CGIAR Fund Council is requested to allocate a W1 contribution of \$250K for the event, mainly to ensure that farmers' voices are heard in the

planning of the next phase CRP and \$200K for online tools, synthesis of feedback from multiple events and associated communication and for required consultant time towards the organization of the main GCARD3 event – which they will jointly organize. Alternatively, the CRPs can bear these costs too.

### **Communications**

The GCARD3 communication plan will ensure that information from a wide range of sources is captured, shared and managed, so it remains accessible and open during the whole process. A number of different communication vehicles and processes including social media will be utilized to reach the maximum number of audiences in both the agricultural research and development arenas as well as providing mechanisms for feedback. Specific measures will be implemented to ensure that small farmers' voices are clearly heard and their views directly articulated, e.g. through farmer focus groups in countries.

### **Key people**

An organizing committee including CRP Directors representatives will be formed that is large enough to represent key actors yet still remain small enough to be effective. The GFAR Secretariat and CGIAR Consortium Office will together shape and organize the processes of consultation, including the Conference. Key activities will be coordinated by a small central team of facilitators and synthesizers, located in the GFAR Secretariat and CO that will engage with meeting organizers, build and maintain communications, and analyze and synthesize the flow of feedback. They will draw directly on advice and strategic direction from stakeholder representatives, as brought together in the GFAR Steering Committee and among CGIAR strategic partners, and from the CRP Directors on the aspirations and aims of the evolving CRP processes.

## **Appendix 1: List of 21 focus countries for CGIAR Research Programs<sup>2</sup>**

A provisional list of countries with the most CGIAR activity is provided here, based pragmatically on the countries where most CRPs are currently active (7 or more). This list could be improved by a more in-depth analysis – and through a discussion of geographic priorities among key CGIAR stakeholders – particularly the Fund Council.

### **Africa**

- Kenya
- Nigeria
- Ethiopia
- Tanzania
- Uganda
- Ghana
- Malawi
- Mali
- Rwanda
- Zambia
- Burundi
- Mozambique
- South Africa

### **Asia**

- India
- Bangladesh
- China
- Nepal
- The Philippines
- Vietnam

### **LAC**

- Nicaragua
- Peru

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<sup>2</sup> Countries with at least 7 CRPs active



## **Appendix 2: Examples of regional events and international meetings to be used to inform the GCARD3 process**

This list can be expanded with suggestions from FC and other stakeholders.

### **November 2014**

FARA@15, Johannesburg

Side event at FAO Council Meeting (on the Investment Facility), Rome

Global Landscapes Forum , Lima

### **January 2015**

Global Forum for Food and Agriculture (Germany)

### **March 2015**

Global Forum for Innovations in Agriculture, Abu Dhabi

Climate Smart Agriculture Science Conference, Montpellier

IFAD Indigenous Peoples Forum, Rome

### **July 2015**

EXPO 2015, Milan, Italy – GFAR/FSNMD/Italian Foreign Ministry public event on priorities for rural development in the S & N Mediterranean region.